



PRIORITAIRE	
En cas de non remise prière de retourner à POSTFACH 3331 38243 Niede Allemagne DPEXP	Deutsche Post port payé 60544 Frankfurt ALLEMAGNE Brief / Luftpost

FILED / RECEIVED  
DEC 21 2013  
EPIQ SYSTEMS

Epiq Bankruptcy Solutions, LLC  
Attn: Lehman Brothers Holdings Inc. Claims  
Processing  
757 Third Avenue, 3<sup>rd</sup> Floor  
New York, NY 10017  
USA  
Tel: +1 866 879 0688  
[epiqteambblue@epiqsystems.com](mailto:epiqteambblue@epiqsystems.com)

**DZ PRIVATBANK (Schweiz) AG**  
Münsterhof 12, P.O. box  
CH- 8022 Zurich

contact person:  
Vreni Münzenmayer

OPS-WA

phone +41 44 214-9036  
fax +41 44 9489

[vreni.muenzenmayer@dz-privatbank.com](mailto:vreni.muenzenmayer@dz-privatbank.com)  
[www.dz-privatbank.com](http://www.dz-privatbank.com)

Zurich, 20 December 2013, MUV

**TRANSFER OR CLAIM OTHER THAN FOR SECURITY and EVIDENCE OF  
TRANSFER OF CLAIM**

Dear Madam, Dear Sir

Please find enclosed mentioned duly signed forms.

Yours sincerely,



Vreni Münzenmayer  
Assistant Manager

Executive Board:  
Dr. Marion Pester (Chairwoman)  
Dr. Franz Georg Brune  
Felix Kirschner

Chairman of the Board of Directors:  
Lars Hille

Registered office:  
Zurich/Switzerland

Commercial register  
CH-020.3.906.593-1

Swiss VAT number  
CHE-116.285.903 MWST

JAN - 6 2014

DÜSSELDORF  
FRANKFURT  
HAMBURG  
HANOVER  
LUXEMBOURG  
MUNICH  
NUREMBERG  
SINGAPORE  
STUTTGART  
ZURICH

Form 210A (10/06)

JAN - 6 2014

## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings Inc., et al., Debtors,

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence, attached hereto, and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

DZ Privatbank (Schweiz) AG

Name of Transferee

Name and Address where notices  
to transferee should be sent:

DZ Privatbank (Schweiz) AG  
Attn. Corporate Actions  
Münsterhof 12 / Postfach  
CH-8022 Zürich  
SWITZERLAND

Phone: +41 44214-9400

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee  
payments should be sent (if different  
from above):

Phone: \_\_\_\_\_

Last Four Digits of Acct #: \_\_\_\_\_

Credit Suisse AG

Name of Transferor

Court Claim # (if known): 55813

Date Claim Filed: October 29, 2009

Amount of Claim: Unit 10

Portion of Claim Transferred (see  
Schedule I): Unit 10 / USD 100,000 / USD 100,000

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: *J. Schaf*

Transferee/Transferee's Agent

*i.v. J. Muenzenmayer*  
Date: Zürich, 20.12.2013

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.

**EVIDENCE OF TRANSFER OF CLAIM**

JAN - 6 2014

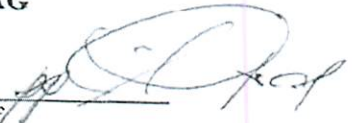
**TO: THE DEBTOR AND THE BANKRUPTCY COURT**


For value received, the adequacy and sufficiency of which are hereby acknowledged, **Credit Suisse AG** ("Transferor") unconditionally and irrevocably transferred to **DZ Privatbank (Schweiz) AG** ("Transferee") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim **Claim Nr. 55813** relating to the securities with International Securities Identification Numbers listed on Schedule I hereto against Lehman Brothers Holdings, Inc. (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS  
EXECUTED ON **December 11, 2013**.

**Credit Suisse AG**

By:   
Name: Adrian Graf  
Title: AVP

By:   
Name: Rita von Wyl  
Title: AVP

**SCHEDULE I**

**Lehman Programs Securities Related to Transferred Portion of Claim:**

ISIN	Court Claim #	Date Claim Filed	Issuer	Number of Units or Currency and Nominal Amount
ANN5214A6406	55813	October 29, 2009	Lehman Brothers Securities NV	Unit 10